

#11/E

PATENT  
Attorney Docket No. HOQV 120

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Application of: )  
 )  
 Michael D. Hooven )  
 )  
 Serial No.: 10/015,476 )  
 )  
 Filed: December 13, 2001 )  
 )  
 Group Art No.: 3739 )  
 )  
 Examiner: Rosiland Rollins )  
 )  
 For: SUB-XYPHOID METHOD FOR )  
 ABLATING CARDIAC TISSUE )

| CERTIFICATE OF TRANSMISSION                                                                                                                                                               |                               |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| I hereby certify that this correspondence is being facsimile transmitted to the Patent and Trademark Office Fax No. (703) 746-3371 to the attention of Rosiland Rollins on June 27, 2003. |                               |
| NAME                                                                                                                                                                                      | <u>May Isabel Casimiro</u>    |
| SIGNATURE                                                                                                                                                                                 | <u><i>May I. Casimiro</i></u> |

U.S. Patent & Trademark Office  
 Group Art Unit 3739  
 Attention: Examiner Rosiland Rollins  
 Fax No. (703)746-3371

AMENDMENT

09/09/2003 LFULTON 00000001 501039 .10015476

01 FC:1202 882.00 DA  
 02 FC:1201 588.00 DA

INTRODUCTORY COMMENTS

Please amend the application as follows:

Please type a plus sign (+) inside this box →  +

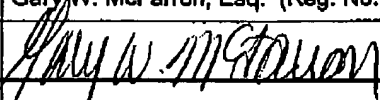
PTO/SB/21 (08-00)


Approved for use through 10/31/2002. OMB 0851-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|                                                                                           |                      |                        |          |
|-------------------------------------------------------------------------------------------|----------------------|------------------------|----------|
| <h1>TRANSMITTAL FORM</h1> <p>(to be used for all correspondence after initial filing)</p> | Application Number   | 10/015,476             |          |
|                                                                                           | Filing Date          | December 13, 2001      |          |
|                                                                                           | First Named Inventor | Michael D. Hooven      |          |
|                                                                                           | Group Art Unit       | 3739                   |          |
|                                                                                           | Examiner Name        | Rosiland Rollins       |          |
| Total Number of Pages In This Submission                                                  | 16                   | Attorney Docket Number | HOOV 120 |

| ENCLOSURES (check all that apply)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment / <del>REXX</del><br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Etc)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Other Enclosure(s) (please identify below): |
| Remarks                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                          |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                                                                                                  |
|--------------------------------------------|--------------------------------------------------------------------------------------------------|
| Firm or Individual name                    | Cook, Alex, McFarron, Manzo, Cummings & Mehler, Ltd.<br>Gary W. McFarron, Esq. (Reg. No. 27,357) |
| Signature                                  |               |
| Date                                       | June 26, 2003                                                                                    |

| CERTIFICATE OF MAILING                                                                                                                                                                                                                                                                                              |                                                                                     |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| sent by FACSIMILE                                                                                                                                                                                                                                                                                                   |                                                                                     |
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <span style="border: 1px solid black; padding: 2px;">June 26, 2003</span> |                                                                                     |
| Typed or printed name                                                                                                                                                                                                                                                                                               | May I. Casimiro                                                                     |
| Signature                                                                                                                                                                                                                                                                                                           |  |
| Date                                                                                                                                                                                                                                                                                                                | June 26, 2003                                                                       |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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|                                                                                |  |                          |                   |
|--------------------------------------------------------------------------------|--|--------------------------|-------------------|
| <b>FEE TRANSMITTAL</b>                                                         |  | <b>Complete if Known</b> |                   |
| <b>for FY 2003</b>                                                             |  | Application Number       | 10/015,476        |
| <i>Effective 01/01/2003. Patent fees are subject to annual revision.</i>       |  | Filing Date              | December 13, 2001 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 |  | First Named Inventor     | Michael D. Hooven |
|                                                                                |  | Examiner Name            | Rosland Rollins   |
| <b>TOTAL AMOUNT OF PAYMENT</b> (\$)<br>(\$) <b>920.00</b>                      |  | Art Unit                 | 3739              |
|                                                                                |  | Attorney Docket No.      | HOOV 120          |

**METHOD OF PAYMENT** (check all that apply)

Check  
  Credit card  
  Money Order  
  Other  
  None

Deposit Account:

Deposit Account Number: **50-1039**  
 Deposit Account Name: **Cook, Alex, et al.**

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below  
  Credit any overpayments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEE CALCULATION** (continued)

**3. ADDITIONAL FEES**

| Large Entity |          | Small Entity |          | Fee Description                                                            | Fee Paid |
|--------------|----------|--------------|----------|----------------------------------------------------------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                                                                            |          |
| 1051         | 130      | 2051         | 65       | Surcharge - late filing fee or oath                                        |          |
| 1052         | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053         | 130      | 1053         | 130      | Non-English specification                                                  |          |
| 1812         | 2,520    | 1812         | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804         | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110      | 2251         | 55       | Extension for reply within first month                                     |          |
| 1252         | 410      | 2252         | 205      | Extension for reply within second month                                    |          |
| 1253         | 930      | 2253         | 465      | Extension for reply within third month                                     |          |
| 1254         | 1,450    | 2254         | 725      | Extension for reply within fourth month                                    |          |
| 1255         | 1,970    | 2255         | 985      | Extension for reply within fifth month                                     |          |
| 1401         | 320      | 2401         | 160      | Notice of Appeal                                                           |          |
| 1402         | 320      | 2402         | 160      | Filing a brief in support of an appeal                                     |          |
| 1403         | 280      | 2403         | 140      | Request for oral hearing                                                   |          |
| 1451         | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452         | 110      | 2452         | 55       | Petition to revive - unavoidable                                           |          |
| 1453         | 1,300    | 2453         | 650      | Petition to revive - unintentional                                         |          |
| 1501         | 1,300    | 2501         | 650      | Utility issue fee (or reissue)                                             |          |
| 1802         | 470      | 2502         | 235      | Design issue fee                                                           |          |
| 1503         | 630      | 2503         | 315      | Plant issue fee                                                            |          |
| 1480         | 130      | 1480         | 130      | Petitions to the Commissioner                                              |          |
| 1807         | 50       | 1807         | 50       | Processing fee under 37 CFR 1.17(q)                                        |          |
| 1808         | 180      | 1808         | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021         | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 750      | 2809         | 375      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810         | 750      | 2810         | 375      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801         | 750      | 2801         | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)

**FEE CALCULATION**

**1. BASIC FILING FEE**

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001         | 750      | 2001         | 375      | Utility filing fee     |          |
| 1002         | 330      | 2002         | 165      | Design filing fee      |          |
| 1003         | 520      | 2003         | 260      | Plant filing fee       |          |
| 1004         | 750      | 2004         | 375      | Reissue filing fee     |          |
| 1005         | 160      | 2005         | 80       | Provisional filing fee |          |

**SUBTOTAL (1)** (\$)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 74                 | -20** = 54   | X 486          | = 486    |
| 10                 | -3** = 7     | X 294          | = 294    |
| Multiple Dependent |              | 140            | = 140    |

| Large Entity |          | Small Entity |          | Fee Description                                            | Fee Paid |
|--------------|----------|--------------|----------|------------------------------------------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                                                            |          |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |          |
| 1201         | 84       | 2201         | 42       | Independent claims in excess of 3                          |          |
| 1203         | 280      | 2203         | 140      | Multiple dependent claim, if not paid                      |          |
| 1204         | 84       | 2204         | 42       | ** Reissue independent claims over original patent         |          |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |          |

**SUBTOTAL (2)** (\$)**920.00**

\*\*or number previously paid, if greater; For Reissues, see above

|                     |                         |                                   |               |
|---------------------|-------------------------|-----------------------------------|---------------|
| <b>SUBMITTED BY</b> |                         | <i>(Complete if applicable)</i>   |               |
| Name (Print/Type)   | Gary W. McFarron, Edg.  | Registration No. (Attorney/Agent) | 27,357        |
| Signature           | <i>Gary W. McFarron</i> | Telephone                         | 312-236-8500  |
|                     |                         | Date                              | June 26, 2003 |

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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